

## **CLAIMS**

What is claimed is:

1. A method comprising:  
  
maintaining a database containing data regarding a complete capitalization structure for at least one company;  
  
allowing a representative of the company, a stakeholder, or an agent of the company to have access to the data regarding the company via a computer network;  
  
allowing the representative of the company or the agent of the company to update the data regarding the company; and  
  
managing the capitalization structure of the company based on the data regarding the company.
2. The method of claim 1, further comprising:  
  
performing an analysis of the data;  
  
creating projections and reports based on the data; and  
  
allowing the representative of the company, the stakeholder, or the agent of the company to have access to the projections and reports regarding the company.

3. The method of claim 2, wherein the reports are speculative reports based on the data as applied to various capitalization scenarios.
4. The method of claim 2, wherein the reports are management reports.
5. The method of claim 2, further comprising adding customized notes to the reports.
6. The method of claim 2, further comprising grouping together logically an individual and an entity appearing in the report.
7. The method of claim 1, further comprising:  
maintaining in the database data regarding at least one job position within the  
company  
connecting that position with data regarding equity compensation, as part of the  
capitalization structure data, pertaining to that position.
8. The method of claim 7, further comprising maintaining in the database data regarding cash compensation for the job position in the company.
9. The method of claim 8, wherein data about cash compensation is provided through a direct connection with the company's payroll management system.

10. The method of claim 1, further comprising customizing access available to a user.
11. The method of claim 10, further comprising categorizing the user and basing the customization on the user's category.
12. The method of claim 1, further comprising providing access to the reports and projections on the web.
13. The method of claim 1, further comprising facilitating the partial exercise of warrants.
14. The method of claim 1, further comprising performing a Rule 701 test computation on a security of the company.
15. The method of claim 14, wherein the computation is performed in real time.
16. The method of claim 14, wherein the computation is performed in batch.
17. The method of claim 14, wherein the computation has an update mode and a read only mode.

18. The method of claim 14, further comprising associating a Rule 701 federal exemption with the security that passes the computation.
19. The method of claim 1, further comprising warning the company when an option plan pool reaches a specified level.
20. The method of claim 1, further comprising allowing the company to undo a specific security transaction.
21. The method of claim 1, further comprising allowing the company to split a specific security holding.
22. The method of claim 21, wherein the security holding split uses a rounding method based on security type.
23. The method of claim 21, wherein a report is generated tracking the security holding before and after the split.
24. The method of claim 21, wherein a pre-split transaction can be retroactively entered.

25. The method of claim 1, further comprising comparing a security's issuance price with the company's share price.
26. The method of claim 1, further comprising issuing a security to a holder.
27. The method of claim 26, further comprising spell checking the issuance.
28. The method of claim 1, further comprising tracking whether a security holder has registration rights.
29. The method of claim 1, further comprising analyzing a security to determine a Rule 144 Start Date for the security.
30. The method of claim 1, further comprising tracking when sales of a security are prohibited by law.
31. The method of claim 1, wherein managing the capitalization structure includes tracking changes in control of the company.
32. The method of claim 1, wherein managing the capitalization structure includes tracking rights of first offer.

33. The method of claim 1, wherein managing the capitalization structure includes tracking rights of first refusal.
34. The method of claim 1, wherein managing the capitalization structure includes tracking a location in which a stock was printed.
35. The method of claim 1, wherein managing the capitalization structure includes tracking a location for a stock certificate.
36. The method of claim 1, further comprising allowing electronic filing of a Rule 83(b) election to a government's Internal Revenue Service.
37. The method of claim 1, further comprising automatically changing a portion of an incentive stock option grant if it exceeds the statutory limit to a non-statutory stock option grant.
38. The method of claim 1, further comprising delaying a portion of an early-exercise incentive stock option grant from being able to be exercised to avoid statutory limits.

39. The method of claim 1, further comprising maintaining a database containing data regarding an option pool and an employee stock purchase plan for a publicly held company.
40. The method of claim 39, further comprising performing an earnings-per-share calculation based on the publicly held company's data and share information from a transfer agent for the publicly held company.
41. The method of claim 39, further comprising offering an option holder a choice of brokers to perform a same day sale of options.
42. The method of claim 39, further comprising tracking data on reporting persons.
43. The method of claim 39, further comprising facilitating communication between an option holder and a transfer agent.
44. A machine-readable storage medium tangibly embodying a sequence of instructions executable by the machine to perform a method comprising:

maintaining a database containing data regarding a complete capitalization structure for at least one company;

allowing a representative of the company, a stakeholder, or an agent of the company to have access to the data regarding the company via a computer network;

allowing the representative of the company or the agent of the company to update the data regarding the company; and

managing the capitalization structure of either company based on the data regarding the company.

45. The machine-readable storage medium of claim 44, further comprising:
- performing an analysis of the data;
- creating projections and reports based on the data; and
- allowing the representative of the company, the stakeholder, or the agent of the company to have access to the projections and reports regarding the company.
46. The machine-readable storage medium of claim 45, wherein the reports are speculative reports based on the data as applied to various capitalization scenarios.



47. The machine-readable storage medium of claim 45, wherein the reports are management reports.
48. The machine-readable storage medium of claim 45, further comprising customizing access available to a user.
49. The machine-readable storage medium of claim 48, further comprising categorizing the user and basing the customization on the user's category.
50. The machine-readable storage medium of claim 45, further comprising providing access to the reports and projections on the web.
51. The machine-readable storage medium of claim 44, further comprising:  
maintaining in the database data regarding at least one job position within the  
company  
connecting that position with data regarding equity compensation, as part of the  
capitalization structure data, pertaining to that position.
52. The machine-readable storage medium of claim 51, further comprising maintaining in the database data regarding cash compensation for the job position in the company.

53. The machine-readable storage medium of claim 52, wherein data about cash compensation is provided through a direct connection with the company's payroll management system.
54. The machine-readable storage medium of claim 44, further comprising facilitating the partial exercise of warrants.
55. The machine-readable storage medium of claim 44, further comprising performing a Rule 701 test computation on a security of the company.
56. The machine-readable storage medium of claim 55, wherein the computation is performed in real time.
57. The machine-readable storage medium of claim 55, wherein the computation is performed in batch.
58. The machine-readable storage medium of claim 55, wherein the computation has an update mode and a read only mode.
59. The machine-readable storage medium of claim 55, further comprising associating a Rule 701 federal exemption with the security that passes the computation.

60. The machine-readable storage medium of claim 44, further comprising warning the company when an option plan pool reaches a specified level.
61. The machine-readable storage medium of claim 44, further comprising allowing the company to negate a specific security transaction.
62. The machine-readable storage medium of claim 44, further comprising allowing the company to split a specific security holding.
63. The machine-readable storage medium of claim 44, further comprising comparing a security's issuance price with the company's share price.
64. The machine-readable storage medium of claim 44, further comprising allowing electronic filing of a Rule 83(b) election to a government's Internal Revenue Service.
65. A system, comprising:  
a database to store data regarding a complete capitalization structure for at least one company;  
an input/output device to allow the company to access and update the capitalization structure data; and

a processor to manage the capitalization structure based upon the capitalization structure data and input from the company.

66. The system of claim 65, wherein the capitalization structure data includes data about stock and derivative securities issuances.
67. The system of claim 65, wherein the capitalization structure data includes data about convertible promissory notes.
68. The system of claim 67, wherein the capitalization structure data includes data about accrued interest.
69. The system of claim 65, wherein the capitalization structure data is current information relating to option plans.
70. The system of claim 65, wherein the capitalization structure data is historical reporting.
71. The system of claim 65, wherein the capitalization structure data is corporate governance information.
72. The system of claim 71, wherein the information is corporate charter documents.

- 73. The system of claim 71, wherein the information is foreign qualifications.
- 74. The system of claim 65, wherein the capitalization structure data reflects to the board of director approval status of a proposed transaction of the company.
- 75. The system of claim 74, wherein the capitalization structure data is presented as an actual report.
- 76. The system of claim 74, wherein the capitalization structure data is presented as a pro-forma report.
- 77. The system of claim 65, wherein the input/output device is a web page.
- 78. The system of claim 65, wherein the input/output device includes a customized screen facilitating payments for securities.